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BEFORE THE ARIZONA CORPORATION COMMISSION

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COMMISSIONERS

GARY PIERCE, Chairman  
BOB STUMP  
SANDRA D. KENNEDY  
PAUL NEWMAN  
BRENDA BURNS

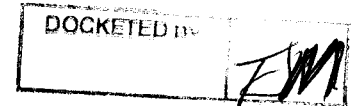
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ARIZONA CORPORATION COMMISSION  
DOCKET CONTROL

Arizona Corporation Commission

DOCKETED

AUG 29 2012



In the matter of:

Richard M. Schmerman, (CRD# 1302988)  
individually and d/b/a Diversified Financial  
and/or Diversified Financial Planners, and Amy  
Schmerman, husband and wife;

DOCKET NO. S-20757A-10-0373

**RESPONDENTS' LIST OF WITNESSES  
AND EXHIBITS**

Respondents.

Respondents Richard M. Schmerman ("Mr. Schmerman"), Diversified Financial and/or  
Diversified Financial Planners ("Diversified") and Amy Schmerman ("Ms. Schmerman")  
(collectively "Respondents"), through undersigned counsel, submit their List of Witnesses and  
Exhibits.

WITNESSES

1. Richard M. Schmerman
2. All witnesses listed by the Securities Division; and
3. Rebuttal or cross-examination witnesses.

Respondents reserve the right to supplement this witness list based upon receipt of  
discovery from the Division.

EXHIBITS

Respondents will utilize as documentary evidence in this proceeding documents that have  
been previously produced to the Division at any time. Respondents will also utilize those  
documents produced by the Division. Respondents reserve the right to use such additional

BADE BASKIN RICHARDS PLC  
80 EAST RIO SALADO PARKWAY  
SUITE 511  
TEMPE, ARIZONA 85281  
TELEPHONE NO 480-968-1225  
FACSIMILE 480-968-6255

1 documents upon immediate notification and production to the Division, if such documents are  
2 found or created by Respondents before the hearing. In addition, Respondents will use documents  
3 received from subpoenas and third-parties which have been provided to the Division or are  
4 enclosed herewith. Respondents reserve the right to use such additional documents as are  
5 furnished pursuant to any other third-party subpoena or such other sources that may subsequently  
6 be received.

7  
8 Respondents reserve the right to use documents not identified above in cross-examination  
9 or rebuttal. Respondents also reserve the right to supplement this document exchange based upon  
10 receipt of documents or information from the Division or third-parties as well as documents which  
11 any of the parties have agreed to produce or have been ordered to produce, but have not yet done  
12 so.

13 RESPECTFULLY SUBMITTED this 29<sup>th</sup> day of August, 2012.

14 BADE BASKIN RICHARDS PLC

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18 By \_\_\_\_\_  
19 Alan S. Baskin  
20 80 East Rio Salado Parkway, Suite 511  
21 Tempe, Arizona 85281  
22 Attorneys for Respondents

23 ORIGINAL and thirteen copies of the foregoing  
24 filed this 29<sup>th</sup> day of August, 2012 with:

25 Docket Control  
26 Arizona Corporation Commission  
27 1200 West Washington Street  
Phoenix, AZ 85007

BADE BASKIN RICHARDS PLC  
80 EAST RIO SALADO PARKWAY  
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1 COPY of the foregoing mailed  
this 29<sup>th</sup> day of August, 2012 to:

2 Paul Huynh  
3 Securities Division  
4 Arizona Corporation Commission  
5 1300 W. Washington Street, 3rd Floor  
6 Phoenix, AZ 85007

7 Richard & Amy Schmerman  
8 2613 E. Mitchell Dr.  
9 Phoenix, AZ 85016

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